



Memorandum

TO: Interested Parties

FROM: Workforce Development Council of Seattle King County (WDC)

DATE: March 1, 2011

SUBJECT: Request for Proposals #11-01 Financial Audit Services

BACKGROUND

The Workforce Development Council of Seattle-King County (WDC) is a private 501(c) (3) nonprofit organization dedicated to supporting individual economic self-sufficiency for low-income residents in King County. Founded in 2000, the WDC provides funding and support to community-based organizations working with disadvantaged youth and adults in need of educational and vocational training as well as job placement, retention, and wage progression. The WDC is led by a highly committed and volunteer board of directors representing private sector business, community-based organizations, organized labor, and governmental organizations. The WDC believes that jobs are a key to family self-sufficiency. The WDC supports job training services to over 6,000 adults, dislocated workers, and youth annually, and is a local leader in advocacy and policy regarding workforce system needs and improvements. The WDC's mission is "to champion a workforce and learning system that allows our region to be a world leader in producing a vibrant economy, and lifelong employment and training opportunities for every resident."

The WDC is funded under the Workforce Investment Act, (WIA) and must abide by the Workforce Investment Act of 1998, the WIA Regulations, all applicable Office of Management and Budget (OMB) Circulars, state regulations in laws and rules (Revised Code of Washington and Washington Administrative Code), Office of Financial Management (OFM) policies, and the Washington State WIA Policies.

The accounting system is an automated system (MIP Fund accounting) from Sage Software Company.

GENERAL INFORMATION

(1) Purpose:

This request for proposal is to contract for a financial audit for the year ending June 30, 2011 and three subsequent years. The audit will be scheduled within the final two weeks of September or during the month of October. The report must be completed by November 30, 2011.

(2) Who may respond:

All licensed independent Certified Public Accountants may respond to this RFP.

(3) Proposal Submission:

Proposals must be received no later than **5:00 p.m. on April 4, 2011**. Please send three (3) copies of your response to:

Lori Schmidt, C.F.O. RFP #11-01
Workforce Development Council of Seattle-King County
2003 Western Avenue, Suite 250
Seattle, WA 98121-2162

Late responses will not be considered and will be returned unopened.

Inquiries regarding this request should be directed to Lori Schmidt at 206.448.0474 ext. 3015 or e-mail to lschmidt@seakingwdc.org.

All costs incurred in the preparation of a proposal responding to this RFP will be the responsibility of the bidder and will not be paid by the Workforce Development Council of Seattle-King County.

All proposals must be submitted in a sealed envelope clearly marked in the lower left-hand corner with the following information:

SEALED BID FOR AUDIT SERVICES

The WDC reserves the right to reject any and all proposals received in response to this RFP. A contract for the accepted proposal will be based on the factors described in this RFP. Efforts will be made to utilize minority-owned, and/or women owned businesses.

It is expected that a decision selecting the successful audit firm will be made within 3 weeks of the closing date of the receipt of proposals. Upon completion of final negotiations with the successful audit firm, all bidders submitting proposals will be notified by mail.

BIDDER QUALIFICATIONS

1. Describe your prior auditing experience including names, addresses, contact persons and telephone numbers of prior organizations audited. Experience should include the following:
 - ❖ Prior experience auditing nonprofit entities
 - ❖ Prior experience auditing programs funded by the Federal Government and Workforce Investment Act of 1998.
 - ❖ Prior experience auditing programs funded by the State of Washington
2. Describe your organization size and structure. Indicate if you have had a peer review and if so, when.
3. Describe the qualifications and experience of the individuals who will be assigned to conduct the audit. What overall supervision will be exercised?
4. Describe your understanding of the work to be performed, including audit procedures, estimated hours, costs, and other pertinent information.

OTHER INFORMATION

To assist your firm in estimating costs associated with the audit engagement, the following documents are available on the Office of Management and Budget website:

www.whitehouse.gov/OMB/grants or Department of Labor (DOL) website: www.dol.gov

*Workforce Investment Act of 1998

*Department of Labor (DOL) Federal Regulation

*OMB Circular A-122 Cost principles for Non-Profit Organizations

*OMB Circular A-110 Administrative Guidelines for Non-Profit Organizations

*OMB Circular A-133 Audits of Institutions of Higher Education and Other Non-Profit Organizations

CONFLICT OF INTEREST / CODE OF CONDUCT

Every reasonable course of action will be taken by the Contractor in order to maintain the integrity of this expenditure of public funds and to avoid any favoritism or questionable or improper conduct. This contract will be administered in an impartial manner, free from personal, financial, or political gain. The Contractor, its executive staff and employees, in administering this Contract, shall avoid situations that give rise to a suggestion that any decision was influenced by prejudice, bias, special interest, or personal gain.

Gratuities in the form of entertainment, gifts or otherwise offered by the Contractor, or an agent or representative of the Contractor to any officer or employee of the Grantor or WDC, with a view toward securing this Contract or securing favorable treatment with respect to the awarding or amending or the making of any determination will render this Contract voidable at the option of the WDC and may justify further action under RCW 42.52.

Contractor shall have a written Code of Conduct for procurement, award, and administration of contracts. The Code of Conduct regarding the conflict of interest shall contain penalties, sanctions or other disciplinary actions. The Code of Conduct shall apply to Contractor staff. The Code of Conduct shall ensure that no one in a decision-making capacity shall have a real or apparent conflict of interest in the selection, award, or administration of contracts or subcontracts. A conflict of interest arises when any of the following have a financial interest or other interest in the firm or organization selected for award:

- a. Individual,
- b. Member of the immediate family,
- c. Employing organization, or
- d. Future employing organization.

The officers, employees, or agents of the Contractor making the award will neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to sub-agreements. Contractor may set minimum rules where the financial interest is not substantial or the gift is an unsolicited item of nominal intrinsic value.

A Contractor cannot be involved with decision making if there is a direct financial benefit. However, Workforce Development Council membership or receipt of funds to provide training and related services do not violate WIA Section 111(f) and Section 117(g).

© 2011

Workforce Development Council of Seattle-King County

The WDC is an Equal Opportunity Employer and provider of employment and training programs
Auxiliary aids and services available upon request to persons with disabilities • WTRS 800.833.6384 or 711